

ESH-17 SOFTWARE MANAGEMENT

Purpose This Air Quality Group procedure implements software management policy, as described in the ESH-17 Quality Management Plan (ESH-17-QMP), for categorizing, assigning a developer, and tracking designated ESH-17 group software.

Scope This procedure applies to all software developed by or for ESH-17. Software includes all applications used to perform work within the group.

In this procedure This procedure addresses the following major topics:

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Signatures

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General information about this procedure

Attachments This procedure has the following attachments:

Number	Attachment Title	No. of pages
1	Software Category Form example	1

History of revision This table lists the revision history and effective dates of this procedure.

Revision	Date	Description Of Changes
0	2/2/99	New document.

Who requires training to this procedure? The following personnel require training before implementing this procedure:

- All ESH-17 project and team leaders
- Information Management Team Leader
- software developers

Training method The training method for this procedure is “self-study” (reading) and is documented in accordance with the procedure for training (ESH-17-024).

Hazard Control Plan The Hazard Control Plan that documents the hazards of work described in this procedure is:

- ESH-17-Office Work

This plan is on file in the ESH-17 group office.

General information, continued

Definitions specific to this procedure critical software: Database and application software developed by or for ESH-17 that stores or performs calculations or other significant operations on compliance data. Called Category 1 software within ESH-17.

compliance: Meeting the requirements of applicable federal regulations, state regulations, and DOE Orders included in the UC-DOE contract.

software developer: The person assigned by the Information Management Team Leader to develop, document, verify, control, and maintain the software.

software owner: The project or team leader who uses the software to perform work.

References The following documents are referenced in this procedure:

- ESH-17-024, “Personnel Training”

Note Actions specified within this procedure, unless preceded with “should” or “may,” are to be considered mandatory guidance (i.e., “shall”).

Categorizing software

Overview In accordance with group policy, the **project leader** or **team leader** determines which software used in the project is Category 1 or Category 2 as described below. The category of the software determines the required level of documentation, verification, security, and maintenance.

**ESH-17
software
categories**

Software categories are:

Category 1 is critical software.

Category 2 tracks or holds data or other information important to ESH-17 operations, but the data or other information is not used for compliance reporting.

Category 3 is personal use desktop software that could not affect the legal defensibility of data or other information used for compliance reporting.

**Steps to
categorize
software**

To categorize software, the **project** or **team leader** performs the following steps:

Step	Action
1	Describe the existing or proposed software application and include the purpose or intended use on the Software Category Form (Attachment 1).
2	Use the category descriptions above to determine a category for the software. Circle the appropriate category on the Software Category Form. Note: Submitting a completed Software Category Form for Category 3 software applications is optional, but may be advisable to document the decision.
3	Sign and date the form. Give the form to the IM Team Leader.

Note: All software not assigned a category in accordance with this procedure defaults to Category 3 software until designated otherwise.

Assigning a software developer

Overview After an existing or proposed software application has been identified and described on a Software Category Form (Attachment 1) and the category determined, the project leader gives the form to the Information Management (IM) Team Leader. The **IM Team Leader**, with input from the project leader and IM team members, assigns a developer.

Steps to assign an owner To assign a software developer, the **IM Team Leader** performs the following steps:

Step	Action
1	Examine the software description and category determination documented on the Software Category Form by the project leader. Discuss the category determination with the project leader and other IM Team members as necessary to ensure the correct category has been assigned.
2	Meet with the IM Team to discuss the development and/or maintenance of the software. Assign a developer for the software. Consider abilities, work load, and schedules when making assignments.
3	Record the developer's name on the Software Category Form (Attachment 1). Note: A developer is not required for Category 3 software.
4	Submit the completed form to the records coordinator.

Tracking software

Overview of the tracking process

The **IM Team Leader** maintains a tracking system of assignments for software developers and owners for Category 1 and Category 2 software. This tracking system is used to manage the scheduling and track the progress of software development and management work.

Records resulting from this procedure

Records

The following records generated as a result of this procedure are to be submitted **within two weeks of completion** as records to the records coordinator:

- completed Software Category Form (Attachment 1)

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Software Category Form

Page 1 of 1

This form is from ESH-17-037

Software title or name: _____

Project or team leader (software owner): _____ Date: _____

Project or team: _____

Software description and purpose:

SAMPLE

Category (circle):	1	2	3	For Category 3, submit form as a record. No further action required.
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Project or team leader signature Date

Assigned software developer: _____

Note: An assigned developer is not required for Category 3 software.

I concur with the category determination and assign the above software developer.

IM Team Leader name Signature Date